

11/17/99  
JCS44 U.S. PTO

Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (12/97)  
Approved for use through 09/30/00. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	99-041	Total Pages	39
	First Named Inventor or Application Identifier			
	KEITH E. LEJEUNE ET AL.			
	Express Mail Label No.	EL317713525US		

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
---	--

<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages <b>24</b>] (preferred arrangement set forth below)</p> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <b>5</b>]</p> <p>4. Oath or Declaration [Total Pages <b>6</b>]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below]</p> <p>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>5. <input type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p>	<p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Copy</p> <p>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</p> <p>c. <input type="checkbox"/> Statement verifying identity of above copies</p>
---	--

ACCOMPANYING APPLICATION PARTS	
8. <input checked="" type="checkbox"/> *	Assignment Papers (cover sheet & document(s))
9. <input type="checkbox"/>	37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)
10. <input type="checkbox"/>	English Translation Document (if applicable)
11. <input type="checkbox"/>	Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
12. <input type="checkbox"/>	Preliminary Amendment
13. <input checked="" type="checkbox"/>	Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. <input checked="" type="checkbox"/>	Small Entity <input type="checkbox"/> Statement filed in prior application, Status still proper and desired
15. <input type="checkbox"/>	Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. <input type="checkbox"/>	Other: * Assignment to Agentase, LLC will follow

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label ☒ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

NAME	Henry E. Bartony, Jr.				
	Date: November 17, 1999 <i>Henry E Bartony</i>				
ADDRESS	Bartony & Hare, Suite 1801				
	429 Fourth Avenue				
CITY	Pittsburgh	STATE	Pennsylvania	ZIP CODE	15219
COUNTRY	USA	TELEPHONE	(412) 338-8632	FAX	(412) 338-6611

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT CLAIMING SMALL ENTITY STATUS  
 (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)  
 99-041

Applicant, Patentee, or Identifier: KEITH E. LEJEUNE AND ALAN J. RUSSELL

Application or Patent No.: TO BE ASSIGNED

Filed or Issued: NOVEMBER 17, 1999

Title: ENZYME-CONTAINING POLYURETHANES

I hereby state that I am

- ☐ the owner of the small business concern identified below.  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN AGENTASE, LLC

ADDRESS OF SMALL BUSINESS CONCERN 300 TECHNOLOGY DRIVE, SUITE 313  
PITTSBURGH, PENNSYLVANIA 15219, USA

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING KEITH E. LEJEUNE

TITLE OF PERSON IF OTHER THAN OWNER PRESIDENT

ADDRESS OF PERSON SIGNING 300 TECHNOLOGY DRIVE, PITTSBURGH, PENNSYLVANIA USA

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

JC542 U.S. PTO  
09/441592



### CERTIFICATION OF EXPRESS MAILING

I hereby certify that the attached Utility Patent Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date November 17, 1999, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL317713525US, addressed to the: Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.

Henry E. Bartony, Jr.

TYPE OR PRINT NAME OF PERSON MAILING PAPER

Henry E. Bartony, Jr.

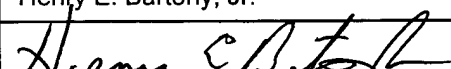
SIGNATURE OF PERSON MAILING PAPER

U.S. Patent Application Serial No.: TO BE ASSIGNED  
Entitled: ENZYME-CONTAINING POLYURETHANES  
Attorney Docket No.: 99-041

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>FEE TRANSMITTAL</b>  Note: Effective October 1, 1997. Patent fees are subject to annual revision.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: left;">Complete if Known</th> </tr> <tr> <td style="width: 50%;">Application Number</td> <td>TO BE ASSIGNED</td> </tr> <tr> <td>Filing Date</td> <td>NOVEMBER 17, 1999</td> </tr> <tr> <td>First Named Inventor</td> <td>KEITH E. LEJEUNE</td> </tr> <tr> <td>Group Art Unit</td> <td>TO BE ASSIGNED</td> </tr> <tr> <td>Examiner Name</td> <td>TO BE ASSIGNED</td> </tr> <tr> <td>Attorney Docket Number</td> <td>99-041</td> </tr> </table>	Complete if Known		Application Number	TO BE ASSIGNED	Filing Date	NOVEMBER 17, 1999	First Named Inventor	KEITH E. LEJEUNE	Group Art Unit	TO BE ASSIGNED	Examiner Name	TO BE ASSIGNED	Attorney Docket Number	99-041
Complete if Known															
Application Number	TO BE ASSIGNED														
Filing Date	NOVEMBER 17, 1999														
First Named Inventor	KEITH E. LEJEUNE														
Group Art Unit	TO BE ASSIGNED														
Examiner Name	TO BE ASSIGNED														
Attorney Docket Number	99-041														
<b>TOTAL AMOUNT OF PAYMENT</b> (\$) 470.00															

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																								
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <u>02-1065</u></p> <p>Deposit Account Name: <u>BARTONY &amp; HARE</u></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17    <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>	<p><b>3. ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 400</td><td>216 200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 950</td><td>217 475</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,510</td><td>218 755</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 2,060</td><td>228 1,030</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,320</td><td>241 660</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,320</td><td>242 660</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 450</td><td>243 225</td><td>Design issue fee</td><td></td></tr> <tr><td>144 670</td><td>244 335</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 790</td><td>246 395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149 790</td><td>249 395</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr> <td colspan="2" style="text-align: right;"><b>SUBTOTAL (3)</b></td> <td colspan="2">(\$) 470.00</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 400	216 200	Extension for reply within second month		117 950	217 475	Extension for reply within third month		118 1,510	218 755	Extension for reply within fourth month		128 2,060	228 1,030	Extension for reply within fifth month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,320	241 660	Petition to revive - unintentional		142 1,320	242 660	Utility issue fee (or reissue)		143 450	243 225	Design issue fee		144 670	244 335	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(a))		149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				<b>SUBTOTAL (3)</b>		(\$) 470.00	
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																						
105 130	205 65	Surcharge - late filing fee or oath																																																																																																																							
127 50	227 25	Surcharge - late provisional filing fee or cover sheet																																																																																																																							
139 130	139 130	Non-English specification																																																																																																																							
147 2,520	147 2,520	For filing a request for reexamination																																																																																																																							
112 920*	112 920*	Requesting publication of SIR prior to Examiner action																																																																																																																							
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action																																																																																																																							
115 110	215 55	Extension for reply within first month																																																																																																																							
116 400	216 200	Extension for reply within second month																																																																																																																							
117 950	217 475	Extension for reply within third month																																																																																																																							
118 1,510	218 755	Extension for reply within fourth month																																																																																																																							
128 2,060	228 1,030	Extension for reply within fifth month																																																																																																																							
119 310	219 155	Notice of Appeal																																																																																																																							
120 310	220 155	Filing a brief in support of an appeal																																																																																																																							
121 270	221 135	Request for oral hearing																																																																																																																							
138 1,510	138 1,510	Petition to institute a public use proceeding																																																																																																																							
140 110	240 55	Petition to revive - unavoidable																																																																																																																							
141 1,320	241 660	Petition to revive - unintentional																																																																																																																							
142 1,320	242 660	Utility issue fee (or reissue)																																																																																																																							
143 450	243 225	Design issue fee																																																																																																																							
144 670	244 335	Plant issue fee																																																																																																																							
122 130	122 130	Petitions to the Commissioner																																																																																																																							
123 50	123 50	Petitions related to provisional applications																																																																																																																							
126 240	126 240	Submission of Information Disclosure Stmt																																																																																																																							
581 40	581 40	Recording each patent assignment per property (times number of properties)																																																																																																																							
146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																							
149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																							
Other fee (specify) _____																																																																																																																									
Other fee (specify) _____																																																																																																																									
<b>SUBTOTAL (3)</b>		(\$) 470.00																																																																																																																							
<p><b>FEE CALCULATION</b></p> <p><b>1. FILING FEE</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 790</td><td>201 395</td><td>Utility filing fee</td><td>380.00</td></tr> <tr><td>106 330</td><td>206 165</td><td>Design filing fee</td><td></td></tr> <tr><td>107 540</td><td>207 270</td><td>Plant filing fee</td><td></td></tr> <tr><td>108 790</td><td>208 395</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114 150</td><td>214 75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="2" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td colspan="2">(\$) 380.00</td> </tr> </tbody> </table> <p><b>2. CLAIMS</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>30</td><td>-20 = 10</td><td>X 9 =</td><td>90.00</td></tr> <tr><td>3</td><td>-3 = 0</td><td>X 39 =</td><td>0</td></tr> <tr><td>0</td><td>-0 = 0</td><td>X 0 =</td><td>0</td></tr> </tbody> </table> <p><b>Large Entity Small Entity</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103 22</td><td>203 11</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102 82</td><td>202 41</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104 270</td><td>204 135</td><td>Multiple dependent claim</td><td></td></tr> <tr><td>109 82</td><td>209 41</td><td>Reissue independent claims over original patent</td><td></td></tr> <tr><td>110 22</td><td>210 11</td><td>Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="2" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td colspan="2">(\$) 90.00</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 790	201 395	Utility filing fee	380.00	106 330	206 165	Design filing fee		107 540	207 270	Plant filing fee		108 790	208 395	Reissue filing fee		114 150	214 75	Provisional filing fee		<b>SUBTOTAL (1)</b>		(\$) 380.00		Total Claims	Extra	Fee from below	Fee Paid	30	-20 = 10	X 9 =	90.00	3	-3 = 0	X 39 =	0	0	-0 = 0	X 0 =	0	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 22	203 11	Claims in excess of 20		102 82	202 41	Independent claims in excess of 3		104 270	204 135	Multiple dependent claim		109 82	209 41	Reissue independent claims over original patent		110 22	210 11	Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>		(\$) 90.00																																																		
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																						
101 790	201 395	Utility filing fee	380.00																																																																																																																						
106 330	206 165	Design filing fee																																																																																																																							
107 540	207 270	Plant filing fee																																																																																																																							
108 790	208 395	Reissue filing fee																																																																																																																							
114 150	214 75	Provisional filing fee																																																																																																																							
<b>SUBTOTAL (1)</b>		(\$) 380.00																																																																																																																							
Total Claims	Extra	Fee from below	Fee Paid																																																																																																																						
30	-20 = 10	X 9 =	90.00																																																																																																																						
3	-3 = 0	X 39 =	0																																																																																																																						
0	-0 = 0	X 0 =	0																																																																																																																						
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																						
103 22	203 11	Claims in excess of 20																																																																																																																							
102 82	202 41	Independent claims in excess of 3																																																																																																																							
104 270	204 135	Multiple dependent claim																																																																																																																							
109 82	209 41	Reissue independent claims over original patent																																																																																																																							
110 22	210 11	Reissue claims in excess of 20 and over original patent																																																																																																																							
<b>SUBTOTAL (2)</b>		(\$) 90.00																																																																																																																							

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Henry E. Bartony, Jr.			Reg. Number	34,772
Signature				Date	Nov. 17, 1999
				Deposit Account User ID	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.